

UNDERWRITTEN TITLE COMPANIES

REQUIRED FILINGS IN THE STATE OF: CALIFORNIA

Filings Made During the Year 2014

(1) Check- list	(2) Line #	(3) REQUIRED FILINGS	(4) NUMBER OF COPIES	(5) CA Required Electronic Filing Format (.PDF, .XLS)	(6) DUE DATE	(7) FORM SOURCE	(8) APPLICABLE NOTES
			Domestic				
		I. STATE FINANCIAL STATEMENTS					
	1	Annual Statement (8 ½” x 14”)	1	PDF (Signed) & XLS Original signature page(s) required	3/31	CA	FAD203
	2	Quarterly Financial Statement (8 ½” x 14”)	1	PDF (Signed) & XLS Original signature page(s) required	4/30, 7/31, 10/31	CA	FAD203
	3	State Filing Fees	1	File online	3/31	CA	FAD206 C
	4	Auditor’s Report	1	PDF	3/31	Company	FAD1
	5	Notes to Financial Statements	1	PDF	3/31	Company	FAD2
	6	Recommendations from Auditor	1	PDF	3/31	Company	FAD3 B
	7	Explanation of Escrow Discrepancies	1	PDF	3/31	Company	FAD4 B
	8	Schedule J	1	PDF	3/31	Company	FAD5 B
	9	Underwriting Agreements	1	PDF	3/31	Company	FAD6 B
	10	Articles of Incorporation	1	PDF	3/31	Company	FAD7 B
	11	List of Shareholders	1	PDF	3/31	Company	FAD8 B
	12	Required Documentation for Changing Auditors	1	PDF	3/31	Company	FAD9 B
	13	Management Agreements	1	PDF	3/31	Company	FAD10 B
	14	Controlled Business Statement	1	PDF	3/31	Company	FAD11 B
	15	Controlled Business Report	1	PDF	3/31	Company	FAD12 B
	16	UTC Monthly Financial Report	1	PDF & XLS	Upon Request	Company	FAD205 A

GENERAL INSTRUCTIONS

Contact Information

For questions regarding filings, please contact Financial Records Unit at (213)346-6423/Financial_Records@insurance.ca.gov or visit the California Department of Insurance (“CDI”) website at: <http://www.insurance.ca.gov>.

Submission

All electronic filings must be made via the Online Assistance System for Insurer Submittals (“OASIS”). For documents requiring original signature(s)/certification/notarization, the electronic PDF file must contain the required signature(s)/certification/notarization.

All original signature pages must be mailed to:

California Department of Insurance
Financial Analysis Division, Financial Records Unit
300 South Spring Street, South Tower, 13th Floor
Los Angeles, CA 90013

Original Signatures and Signature/Notarization/Certification

Refer to California Insurance Code Section (“CICS”) 903 and CICS 903.5 for guidance. For signature(s), please use BLUE INK.

Note: As of January 1, 2008, all documents notarized in the state of California must comply with Section 8202 of the Government Code and Section 1185 of the Civil Code in reference to establishing an affiant’s identity.

Late Filings

All filings must be submitted before 12:00 midnight of the due date. Any company that fails to make a timely filing will be subject to a penalty fee. Failure to pay the penalty fee or make the required filing, the company shall forfeit the privilege of accepting new business until the delinquency is corrected. Penalty fee shall be submitted online through OASIS.

Amended Filings

Amended items must be filed timely. If there are signature requirements for the original filing, same should be followed for any subsequent amendment. Please contact Financial Records Unit at (213) 346-6423 or Financial_Records@insurance.ca.gov prior to submitting any amendment via OASIS.

NONE or N/A Filings:

When there is nothing to report or the form is not applicable, the word “NONE” or “N/A” must appear stamped/written on the required form. Company information must be filled in (e.g., Company name and Company ID #).

Column (1)	Checklist Place an “x” in this column when mailing information to the state.
Column (2)	Line # Line # refers to a standard filing number used for reference only. This line number may change from year to year.
Column (3)	Required Filings Name of item or form to be filed.
Column (4)	Number of Copies Indicates the number of copies that each domestic company is required to file for each type of form.
Column (5)	CA Required Electronic Filing Format <u>Adobe PDF (PDF)</u> For document requiring original signature(s)/certification/notarization, the PDF file must contain the required signature(s)/certification/notarization. <u>MS Excel (XLS)</u> For document requiring an Excel version, the related form is provided on our Website. The Excel version does not require signature(s)/certification/notarization.
Column (6)	Due Date Indicates the date on which the company must file the form.
Column (7)	Form Source <ul style="list-style-type: none">CA = CDI will prescribe the forms with the filing instructions.Company = Company, or its representative is expected to provide the form.
Column (8)	Applicable Notes This column contains references to the Notes that apply to each item listed on the checklist. It also contains the CDI form numbers (in red) for reference only.

NOTES

A	UTC Monthly Financial Report	CDI may request additional financial reports on a monthly basis. Submit the requested reports online utilizing OASIS.
B	UTC Annual Statement Supplements	All documents must be submitted online utilizing OASIS. CD/DVD submissions will not be accepted.
C	State Filing Fees	State filing fees must be submitted online utilizing OASIS no later than March 31, 2014. <i>Do not send checks.</i> Submission of the Annual Report will not be allowed unless the filing fee is paid. Annual Report filing fees are assessed pursuant to CICS 12389(a)(4)(B).